





Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

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of

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**Complete if Known**

Application Number	09/651,301
Filing Date	August 30, 2000
First Named Inventor	Richard W. Friesen
Art Unit	3624
Examiner Name	Akers, Geoffrey R.
Attorney Docket Number	36992.00109

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
gnd		US-4,750,135	06-07-1988	Boilen, Shelly	
gnd		US- 4,903,201	02-20-1990	Wagner, Susan W.	
gnd		US- 5,038,284	08-06-1991	Kramer, Robert M.	
gnd		US- 5,077,665	12-31-1991	Silverman et al.	
gnd		US- 5,101,353	03-31-1992	Lupien et al.	
gnd		US- 5,270,922	12-14-1993	Higgins, Gerard M.	
gnd		US- 5,774,877	06-30-1998	Patterson, Jr. et al.	
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gnd		US- 6,035,287	03-07-2000	Stallaert et al.	
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gnd		US- 6,101,484	08-08-2000	Halbert et al.	
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gnd		US- 6,282,521	08-28-2001	Howorka, Edward R.	
gnd		US- 6,408,282	06-18-2002	Buist, Walter D.	
gnd		US- 2001/0034696	10-25-2001	McIntyre, Kevin A.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup>				
gnd		WO 95/26005 A1	09-28-1995	Belzberg, Sydney H.		
gnd		WO 00/52619 A1	09-08-2000	WIT CAPITAL CORPORATION		

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Considered

6-10-04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

## Complete if Known

Application Number 09/651,301  
Filing Date August 30, 2000  
First Named Inventor Richard W. Friesen  
Art Unit 3624  
Examiner Name Akers, Geoffrey R.  
Attorney Docket Number 36992.00109

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## NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
JD		KHAROUF, Jim and Carla CAVALETTI; "A Trading Room With a View"; Futures; November 1998; 6 pages. www.futuresmag.com	
JD		USPTO Presentation regarding The NASDAQ Stock Market, Inc.; dated November 8, 2001; 15 pages.	

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*Geoffrey R. Akers*

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6-10-04

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